

JC691 U.S. PTO

Attorney Docket No. 1095.1146/JDH

First Named Inventor or Application Identifier:

Minoru YAMAMOTO, et al.

Express Mail Label No.

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(h))

 JC675 U.S. PTO  
 09/22/00  
 11/28/00
**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

 ADDRESS TO: **Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231**

1. ☒ Fee Transmittal Form
2. ☒ Specification, Claims & Abstract ..... [ Total Pages: 36 ]
3. ☒ Drawing(s) (35 USC 113) ..... [ Total Sheets: 16 ]
4. ☒ Oath or Declaration ..... [ Total Pages: 4 ]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation by Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

8. ☒ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) [ ] Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 [ ] Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
14. ☐ Small Entity Statement(s) [ ] Statement filed in prior application, status still proper and desired.
15. ☒ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Other:

**17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:**[ ] Continuation [ ] Divisional [ ] Continuation-in-part (CIP) of prior application No:     /    **18. CORRESPONDENCE ADDRESS**

21171

PATENT TRADEMARK OFFICE

Staas &amp; Halsey

**NEW APPLICATION  
FEE TRANSMITTAL**

Attorney Docket No. 1095.1146/JDH

Application Number TO BE ASSIGNED

Filing Date November 28, 2000

AMOUNT ENCLOSED \$750.00

First Named Inventor Minoru YAMAMOTO, et al.

**FEE CALCULATION** (fees effective 10/1/00)

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
TOTAL CLAIMS	7	- 20 =	0	X \$ 18.00 =	\$ 0.00
INDEPENDENT CLAIMS	2	- 3 =	0	X \$ 80.00 =	0.00
MULTIPLE DEPENDENT CLAIMS (any number; if applicable)				+ \$2760.00 =	0.00
				<b>BASIC FILING FEE</b>	710.00
				Total of above Calculations =	\$ 710.00
Surcharge for late filing fee, Statement or Power of Attorney (\$130.00)					0.00
Reduction by 50% for filing by small entity (37 CFR 1.9, 1.27 & 1.28).					- 0.00
				<b>TOTAL FILING FEE =</b>	\$ 710.00
Surcharge for filing non-English language application (\$130.00; 37 CFR 1.52(d))					0.00
Recordation of Assignment (\$40.00; 37 CFR 1.21(h)(1))					40.00
				<b>TOTAL FEES DUE =</b>	\$ 750.00

**METHOD OF PAYMENT**

- ☒ Check enclosed as payment.
- ☐ Charge "TOTAL FEES DUE" to the Deposit Account No., below.
- ☐ No payment is enclosed and no charges to the Deposit Account are authorized at this time.

**GENERAL AUTHORIZATION**

- ☒ If the above-noted "AMOUNT ENCLOSED" is not correct, the Commissioner is hereby authorized to credit any overpayment or charge any additional fees necessary to:

Deposit Account No.

19-3935

Deposit Account Name

STAAS &amp; HALSEY LLP

- ☒ The Commissioner is also authorized to credit any overpayments or charge any additional fees required under 37 CFR 1.16 (filing fees) or 37 CFR 1.17 (processing fees) during the prosecution of this application, including any related application(s) claiming benefit hereof pursuant to 35 USC § 120 (e.g., continuations/divisionals/CIPs under 37 CFR 1.53(b) and/or continuations/divisionals/CPAs under 37 CFR 1.53(d)) to maintain pendency hereof or of any such related application.

**SUBMITTED BY: STAAS & HALSEY LLP**

Typed Name James D. Halsey, Jr.

Reg. No. 22,729

Signature

Date November 28, 2000

# DATA PROCESSING SYSTEM

## BACKGROUND OF THE INVENTION

### 1. Field of the Invention

5           The present invention relates to a data processing system, and more particularly to a data processing system which allocates necessary resources to client applications according to their requests.

### 2. Description of the Related Art

10           The advancement of network technologies has enabled various computing resources on a network to be managed in a distributed manner. This type of resource management is becoming more and more common in these years. In such a distributed environment, it is not unusual for a  
15           plurality of clients to share a common set of resources, such as files and objects, for the purpose of their efficient use. Here, the term "client" refers not only to computer equipment, but to each piece of application software as well.

20           To make resource sharing possible, it is necessary to implement appropriate resource management functions in the system. In conventional systems, these functions are provided by a resource management program which allocates and deallocates each requested resource individually. A  
25           client has to repeatedly issue a resource allocation request as many times as the number of resources needed. This is a troublesome task particularly when the client

handles a number of resources.

Furthermore, the shared resource system has to maintain the coherency or consistency in multiple instances of resources. To ensure this, the system  
5 allocates resources in an exclusive manner when they are likely to be modified by the requesting clients. Conventional resource management programs are, however, designed to handle one resource at a time, while ensuring its exclusiveness. It is not efficient to repeat such  
10 similar processing.

#### SUMMARY OF THE INVENTION

Taking the above into consideration, an object of the present invention to provide a data processing system  
15 which allows a client to request multiple resources in a simplified way, as well as facilitating exclusive allocation of such resources.

To accomplish the above object, according to the present invention, there is provided a data processing  
20 system which allocates necessary resources to requesting clients. In this proposed system, a grouping unit defines groups of resources, and the defined groups are maintained by a group manager. When a request is received from a client that demands a specific group of resources, a  
25 detection unit finds such a member resource of the requested group that is currently used by another client. If the detection unit has found this kind of member

resource in use, then a determination unit determines whether the detected member resource is to be modified. A permission unit permits the requesting client to make access to the requested group of resources if the  
5 detection unit finds that none of the member resources are being used by any other client, or if the determination unit finds that neither the current user nor the requesting client intends to modify the detected member resource in use. This configuration of the proposed data  
10 processing system simplifies the process through which a client is allocated a plurality of computing resources.

The above and other objects, features and advantages of the present invention will become apparent from the following description when taken in conjunction with the accompanying drawings which illustrate preferred 15 embodiments of the present invention by way of example.

### BRIEF DESCRIPTION OF THE DRAWINGS

FIG. 1 is a conceptual view of the present  
20 invention;

FIG. 2 is a block diagram of an embodiment of the present invention;

FIG. 3 explains a typical job processing flow which is executed by a client on a session that has been established with the proposed data processing system;

FIG. 4 is a flowchart which explains the details of "session establishment routine" shown in FIG. 3;

FIG. 5 is a diagram which shows an example of a client management table;

FIG. 6 is a diagram which shows an example of a session management table;

5           FIG. 7 is a flowchart which explains the details of "session closing routine" shown in FIG. 3;

FIG. 8 is a diagram which shows an example of a group management table;

10           FIG. 9 is a flowchart which explains an example of a resource grouping process;

FIG. 10 is a flowchart which explains an example of a group allocation process;

FIG. 11 is a flowchart which explains an example of an ungrouping process;

15           FIG. 12 is a flowchart which explains the details of "resource deallocation routine" shown in FIG. 11;

FIG. 13 is a flowchart which explains an example of a new member enrollment process;

20           FIG. 14 is a flowchart which explains an example of a resource registration process;

FIG. 15 is a flowchart which explains an example of a group member removal process; and

FIG. 16 is a flowchart which explains an example of a resource deregistration process.

25

#### DESCRIPTION OF THE PREFERRED EMBODIMENTS

Preferred embodiments of the present invention

will be described below with reference to the accompanying drawings.

FIG. 1 is a conceptual view of a data processing system according to the present invention. This data processing system 1 comprises a grouping unit 1a, a group manager 1b, a detection unit 1c, a determination unit 1d, and a permission unit 1e. The data processing system 1 communicates with other data processing systems 3-1 to 3-3 through a network 2.

10 The grouping unit 1a defines a group of resources which are located in the data processing system 1 itself, as well as those in the other data processing systems 3-1 to 3-3. The membership of each group should not be limited to a plurality of resources; the term "group" also refers to a single element group. The group manager 1b manages such groups produced by the grouping unit 1a.

15 The data processing system 1 receives from its client an allocation request for a specific group of resources. When such a request is received, the detection unit 1c examines the status of each member of the requested group in order to detect such a member resource that is currently used by another client. Note that the term "client" refers to each piece of application software running on the data processing system 1 itself or any other data processing system 3-1 to 3-3. If the detection unit 1c finds that any member resource of the requested group is currently used by some other client(s), the

determination unit 1d then determines whether the current user intends to modify that member resource in use.

The permission unit 1e permits the requesting client to make access to the requested group of resources in the following two cases: (a) if the detection unit 1c finds that none of the member resources of the requested group are being used by any other client, and (b) if the determination unit 1d finds that neither the current user nor the requesting client intends to modify that member resource of interest.

The network 2 is a local area network (LAN) or wide area network (WAN), which connects the data processing system 1 with the others 3-1 to 3-3. The data processing systems 3-1 to 3-3 are based on personal computers or other similar platforms, which need some computing resources to accomplish their tasks. They request the data processing system 1 to supply them with such resources as needed, and if the request is granted, they execute various tasks using the allocated resources. The operation of the above system will be explained more specifically in the next section.

Receiving a request from a client or other sources, the grouping unit 1a defines groups of resources which are located in the data processing system 1 itself or other data processing systems 3-1 to 3-3. The resultant group definitions are supplied to the group manager 1b. Suppose, for example, that a grouping request for specific



resources A, B, and C (not shown) has arisen. In response to this request, the grouping unit 1a creates a new group G1 (not shown) and informs the group manager 1b of the created group. The group manager 1b registers the  
5 information into its database as a new group entry. It is assumed here that the database already has a record of group G2 (not shown) which has previously been defined as a collection of resources A, D, and E (not shown).

Now consider that, in the situation described  
10 above, the data processing system 3-1 raises an access request for the newly registered group G1. This request message is delivered to the data processing system 1 over the network 2 and accepted by its detection unit 1c. The detection unit 1c parses the message, recognizing that it  
15 is an access request for the group G1. The detection unit 1c then examines whether any member resource of the group G1 is being used in another client process. Suppose, in the present example, that the group G2 has been allocated to the data processing system 3-2. It should be noticed  
20 here that the resource A in the group G1 is common to the group G2. This means that one of the requested resources is currently used by the data processing system 3-2 as a member resource of the group G2. Accordingly, the detection unit 1c so notifies the determination unit 1d.

25 The determination unit 1d determines whether the current user of the resource A (i.e., the ongoing application process executed on the data processing system

3-2) intends to modify it. Here, the term "modify" means any kinds of data operations (e.g., overwriting, updating, deleting, or whatever) which may result in an alteration of the content, in whole or in part. The result of the above test is passed to the permission unit 1e. In the present example, it is assumed that the permission unit 1e is notified that the data processing system 3-2 intends no modification to the resource A.

The permission unit 1e permits the requesting client to use the group if either of the following conditions is met: (a) none of the member resources of the requested group is being used by any other client, and (b) when some client is using any member resource, neither the current user nor the requesting client intends to modify that member resource. In the present example, the detection unit 1c has identified that the resource A is used by some other client, but the determination unit 1d has found that the resource A is not to be modified by that client. The permission unit 1e then determines whether the requesting data processing system 3-1 has an intention to modify the resource A either. If no modification is expected, the permission unit 1e sends a grant message to the requesting system 3-1, which enables it to use the group G1, including resources A, B, and C.

25           As described above, the proposed data processing system 1 allows a client to specify a group of resources collectively (as opposed to specifying individual

resources one by one) when it wishes to have them allocated. In this way, the present invention simplifies the process of resource allocation.

Referring next to FIG. 2, a specific embodiment of the present invention will now be described below. As seen from FIG. 2, the proposed data processing system 10 comprises the following components: a central processing unit (CPU) 10a, a read only memory (ROM) 10b, a random access memory (RAM) 10c, a hard disk drive (HDD) 10d, and a network interface (I/F) 10e. This data processing system 10 communicates with other data processing systems 3-1 to 3-3 through a network 2.

The CPU 10a provides various services according to the programs and data stored in the HDD 10d, besides controlling other parts of the system. The ROM 10b stores basic programs and data that the CPU 10a executes and manipulates. The RAM 10c serves as temporary storage for application programs and scratchpad data that the CPU 10a executes and manipulates at runtime. The HDD 10d stores programs and data that the CPU 10a executes and manipulates. The network interface 10e provides protocol conversion services to enable the CPU 10a to send and receive data to/from the data processing systems 3-1 to 3-3. The network 2 is a LAN or WAN, serving as a communications medium connecting the data processing systems 10 with other data processing systems (or clients) 3-1 to 3-3. The data processing systems 3-1 to 3-3 are

equipment based on personal computers or other similar  
platforms, which may request necessary computing resources  
to the data processing system 10. If the request is  
granted, they execute various tasks using those allocated  
5 resources.

According to the present invention, the proposed  
data processing system 10 operates as follows. Generally  
in the present embodiment, the requesting client sets up a  
session with the data processing system 10 before  
10 requesting it to provide specific services. The data  
processing system 10 executes requested jobs within the  
session that has been established. This general process  
flow is shown in the flowchart of FIG. 3.

(S1) The CPU 10a calls a routine that initiates a  
15 session with the requesting client. The details of  
this session establishment routine will be described  
later with reference to FIG. 4.

(S2) The CPU 10a executes various jobs as requested  
by the client. More specifically, the jobs include a  
20 resource grouping process and group allocation  
process shown in FIG. 9 and other drawing that  
follow.

(S3) The CPU 10a calls a routine that closes the  
session. The details of this session closing routine  
25 will be described later with reference to FIG. 5.

Referring now to FIG. 4, the details of the  
session establishment routine called at step S1 is shown.

This routine comprises the following steps.

(S10) The CPU 10a authenticates the requesting client, checking its login password that has been sent to the data processing system 10 beforehand.

5 (S11) If the client is successfully verified as an authorized entity at step S10, then the CPU 10a goes to step S12. If not, it terminates the process.

(S12) The CPU 10a generates a session ID for the session to be established. Every ongoing session has its session ID to uniquely distinguish itself from others.

10 (S13) The CPU 10a makes access to the HDD 10d to retrieve information about the client's authorization status, i.e., what kinds of rights are given to the requesting client. The HDD 10d stores a table for this purpose, which is called the "client management table."

15 FIG. 5 shows an example of the client management table, each entry of which provides the following data fields:

- Client ID
- Grouping right
- Allocatable group
- Deallocatable group
- 25 • Resource registration right
- Resource deletion right
- Resource deallocation right



preceding two steps, the CPU 10a now creates a new entry of this table.

FIG. 6 shows an example of the session management table, each entry of which provides the following data fields:

- Session ID
- Client ID
- Grouping right
- Allocatable group
- Deallocatable group
- Resource registration right
- Resource deletion right
- Resource deallocation right
- Allocated group
- R/W mode

The "Session ID" field stores what the CPU 10a has generated at step S12 of FIG. 4. The "Client ID" field gives the identifier of the client requesting session establishment. The "Grouping right" field and other five fields that follow are used to store the client's authorization status which has been obtained at step S13 of FIG. 4. The "Allocated group" field shows which group is being allocated to the session. The "R/W mode" field indicates whether the resources in the allocated group is designated as "read only" (R) or "writable" (W). Take the first two entries of the illustrated session management

table, for example. These entries indicate that the client can read, but not write to the group G001 in the session "S001" while the other session "S002" allows both types of access to the group G003.

5           The session is established through the above processing steps S10 to S14, which now permits the client to receive various services from the data processing system 10 as will be described later. Before presenting the detail of each service to be provided, the next  
10 session will explain how the session is closed. Referring to FIG. 7, the session closing routine provides the following processing steps when it is called:

(S20)    The CPU 10a determines whether the specified session is valid and active. If so, the process  
15 advances to step S21. If not, the process is terminated.

(S21)    The CPU 10a then examines whether any resources still remain allocated (i.e., the client has not yet released them). If such a resource is found, the  
20 process advances to step S22. If no such resources remain, the process skips to step S23.

(S22)    The CPU 10a deallocates the remaining resource(s).

(S23)    The CPU 10a removes a relevant entry from the  
25 session management table.

The next section will now describe how the proposed data processing system 10 formulates and



allocates a group in response to a client's request. It is assumed that the data processing system 3-1 has set up a session "S001" with the data processing system 10 and is now requesting the allocation of three resources. These  
5 resources are identified by their unique identifiers (resource IDs) "R001," "R005," and "R006."

In the above context, the CPU 10a in the data processing system 10 consults its local session management table (FIG. 6) to determine whether the requesting client  
10 is eligible to organize a group of resources. Since the table entry for the session ID "S001" tells that the client is given a grouping right, the CPU 10a then executes a program to create a group, which is referred to herein as the "resource grouping process." Through this  
15 process, the CPU 10a creates a resource group containing three individual resources "R001," "R005," and "R006" and registers it as a new entry of a table shown in FIG. 8. This table, called the "group management table," stores the information about the resource groups that have been  
20 created so far. Each entry of the table has the following data fields:

- Group ID
- Valid period
- Resource ID
- 25 • Associate group

The "Group ID" field contains a unique identifier assigned to each group. The "Valid Period" field of a specific

group's table entry shows the term of validity of that group. The CPU 10a automatically removes an entry if its valid period expires, to prevent obsolete group definitions from remaining in the HDD 10d. The "Resource ID" fields contain the identifier of every member resource constituting the group of interest. The "Associate group" field contains a list of group IDs, showing whether the group shares its resource with any other groups. In other words, this field shows the cross-relationships among groups. Take the group "G002," for example. Since its member "R001" is common to the group "G001," the table entry for the group "G002" holds the group ID of that group in its associate group field.

The CPU 10a generates an appropriate group ID "G001" and gives it to the group management table, besides entering resource IDs "R001," "R005," and "R006" to the resource ID field. The CPU 10a also give an appropriate valid period to the group, depending on the importance of member resources. It further identifies the associate groups from among the existing groups and updates the table with their cross-reference relationships. In this way, the group "G001" is defined as a new entry of the group management table of FIG. 8.

The created group will be allocated to a specific client as follows. Suppose that the data processing system 3-1 with a client ID "C002" is requesting resources belonging to the group "G001" in the course of a session

"S001." In response to this request, the CPU 10a in the data processing system 10 consults the session management table of FIG. 6 to determine whether the requesting client has a group allocation right. The first entry of this  
5 table is relevant to the ongoing session "S001," and its allocated group field indicates that the client is eligible to use a group G001 or G002. Accordingly, the CPU 10a executes a group allocation process as will be described below.

10 First, the CPU 10a determines whether any associate group (i.e., a group having a close relationship with the requested group) is being used in the writable (W) mode. If so, there is a chance that the user of the associate group could modify a member resource of the  
15 requested group. For this reason, the CPU 10a basically turns down the request from the client. Another option is to suspend the request temporarily and resume the processing after the associate group is finished using.

If there is no associate group being used in the  
20 writable mode, then the CPU 10a determines whether the requesting client intends to use the group in the writable mode. If so, the CPU 10a further checks whether any other group related to the requested group is in use. If there is such an associate group, it turns down or suspends the  
25 client's request. If not, the CPU 10a initiates a resource allocation process for the requesting client. More specifically, it allocates all the requested resources to

the client, according to the relevant group definition found in the group management table of FIG. 8. When this operation is finished, the CPU 10a then updates the session management table of FIG. 6 with the identifier of the allocated group and its R/W status. In the present example, the group ID "G001" and "Read only" (R) mode is set to their respective data fields of the first table entry, which represents the current state of the session "S001."

Now that all the necessary resources have been obtained, the data processing system 3-1 can execute its intended operations, reading and writing the resources according to its discretion. When the allocated resources become no longer necessary, the client (data processing system 3-1) notifies the data processing system 10 that it is ready to release the allocated group. In response to this notification, the CPU 10a in the data processing system 10 consults the session management table of FIG. 6 to determine whether the requesting client has a group deallocation right. The CPU 10a initiates a group deallocation process in the present example, since the table entry for the current session "S001" tells that the client "C002" can deallocate the groups "G001" and G002."

In the resource deallocation process, the CPU 10a sequentially deallocates the resources that are listed in a relevant group definition found in the group management table of FIG. 8. When this step is finished, the CPU 10a

then updates the session management table of FIG. 6,  
nullifying the relevant "Allocated group" and "R/W" fields.  
The deallocation of a resource makes it possible for other  
clients to use such groups that include the released  
5 resource.

According to the above-described embodiment of the  
present invention, computing resources are divided into  
groups to allow each client to be allocated a group of  
resources with a single action. This mechanism makes it  
10 easy for the clients to request necessary resources. The  
proposed system also implements the exclusive use of  
resources on a group basis, eliminating the need for  
monitoring individual resources. The proposed system,  
however, can support exclusive allocation of each  
15 individual resource, as opposed to the group-based control.

The above-described processing functions are  
implemented in software programs as will be explained with  
reference to FIGS. 9 to 12.

Referring first to the flowchart of FIG. 9, the  
20 resource grouping process will be described. This process  
is initiated when, for example, the user wishes to  
manually define a group of resources, or when a grouping  
request is received from an application program. More  
specifically, the resource grouping process comprises the  
25 following steps.

(S30) The CPU 10a scans the session management table  
of FIG. 6 to see whether it contains the session ID

000211 1252260

specified in the client's request. If the session ID is found, the specified session is considered to be valid and active, allowing the process to advance to step S31. If not, the CPU 10a aborts the current process, rejecting the client's request.

(S31) From the session management table of FIG. 6, the CPU 10a retrieves information about the grouping right that the requesting client has.

(S32) If the information retrieved at step S31 suggests that the client is authorized to define a group, the process advances to step S33. If not, the CPU 10a aborts the process, rejecting the client's request.

(S33) The CPU 10a generates a group ID. This ID will be assigned to a new group to be created.

(S34) The CPU 10a creates a new group.

(S35) The CPU 10a searches the group management table for any existing groups that share some resources common to the new group. These groups are referred to as the "associate groups."

(S36) The CPU 10a determines the valid period of the newly created group by evaluating, for example, how important each member resource is.

(S37) The CPU 10a registers the created group as a new entry of the group management table of FIG. 8.

The above processing steps allow an eligible client to create a new group of resources and register it

to the group management table of FIG. 8.

Referring next to FIG. 10, a process of allocating a resource group to a client will be described. This group allocation process comprises the following steps.

5     (S40)     The CPU 10a determines whether the session specified in the client's request is valid and active. If so, the process advances to step S41. If not, the CPU 10a aborts the process, rejecting the client's request.

10    (S41)     From the session management table of FIG. 6, the CPU 10a retrieves information about the group allocation right given to the requesting client.

15    (S42)     The process advances to step S43 if the information retrieved at step S41 suggests that the client is eligible to be allocated a group. If not, the CPU 10a aborts the process, rejecting the client's request.

20    (S43)     Scanning the group management table of FIG. 8, the CPU 10a identifies associate groups pertaining to the requested group. If any such associate group is found, the CPU 10a then determines whether it is being used in the writable mode, by consulting the session management table of FIG. 6. If so, the process is terminated, resulting in unsuccessful group allocation. Otherwise, the process advances to  
25             step S44.

(S44)     The CPU 10a determines whether the requesting

client intends to use the resource group in the writable mode. If so, the process advances to step S45. If not, it skips to step S46.

(S45) Consulting the session management table of FIG.

5 6, the CPU 10a determines whether any associated group is currently used, no matter which mode it is in. If such an active associate group is found, the process is terminated, resulting in unsuccessful group allocation. Otherwise, the process advances to  
10 step S46.

(S46) The CPU 10a extracts one resource from those listed in the relevant group definition in the group management table of FIG. 8, and allocates it to the client.

15 (S47) The CPU 10a determines whether all the member resources have been allocated to the client. If there is any unfinished resource, the process returns to step S46 to repeat the same. Otherwise, the process advances to step S48.

20 (S48) Now that the client has obtained the intended group of resources, the CPU 10a updates the session management table of FIG. 6 with the group ID and its R/W mode information.

By executing the above steps, the data processing  
25 system 10 allocates a specific group of resources when a client requests it and updates the session management table to make a record of that group when the allocation



is successfully finished. While the presence of an associate group would make the requested group temporarily unavailable, the system can be configured to suspend the request until the associate group is released.

5 Referring next to FIG. 11, a process of deallocating a resource group from its client will be described. The process comprises the following steps.

(S60) The CPU 10a determines whether the session specified in the client's request is valid and  
10 active. If so, the process advances to step S61. If not, the CPU 10a aborts the process, rejecting the client's request.

(S61) From the session management table of FIG. 6, the CPU 10a retrieves information about the group  
15 deallocation right given to the requesting client.

(S62) The process advances to step S63 if the information retrieved at step S61 suggests that the client is eligible to deallocate a group from itself. If not, the CPU 10a aborts the process, rejecting  
20 the client's request.

(S63) The CPU 10a calls a routine to release a member resource of the requested group. The details of this resource deallocation routine will be presented in the next section with reference to FIG. 12.

25 (S64) The CPU 10a determines whether all the member resources have been deallocated from the client. If there is any unfinished resource, the process

returns to step S63 to repeat the same. Otherwise,  
the process advances to step S65.

(S65) The CPU 10a updates the group management table  
of FIG. 8 to remove the record of the deallocated  
5 group. More specifically, it nullifies "Allocated  
group" field and "R/W" field of the relevant table  
entry.

Referring next to FIG. 12, the resource  
deallocation routine called at step S63 will be described  
10 in detail. This routine comprises the following steps.

(S70) From the session management table of FIG. 6, the  
CPU 10a retrieves information about the resource  
deallocation right given to the requesting client.

(S71) If the information retrieved at step S70  
15 suggests that the client is eligible to deallocate a  
resource, the process advances to step S72. If not,  
the CPU 10a aborts the process, rejecting the  
client's request.

(S72) The CPU 10a deallocates the resource of interest.  
20 This means that the resource becomes available to  
other clients.

(S73) If any client needs an interrupt that signifies  
the release of a resource, the process advances to  
step S74. If not, the control is transferred back to  
25 the calling process.

(S74) The CPU 10a initiates a resource deallocation  
interrupt to inform the waiting client(s) that the

resource of interest has been released and is now ready to use. This interrupt is used in a resource deregistration process, which will be described later in FIG. 16.

5           The above section has discussed how a group is deallocated from a client. Referring next to FIG. 13, a process of adding a new member resource will be described. This process is initiated when, for example, the user wishes to manually enroll a certain resource as a new  
10 member of an existing group. The process comprises the following steps.

(S80)    The CPU 10a determines whether the session specified in the client's request is valid and active. If so, the process advances to step S81. If  
15 not, the CPU 10a aborts the process, rejecting the client's request.

(S81)    From the session management table of FIG. 6, the CPU 10a retrieves information about the grouping right given to the requesting client.

20 (S82)    If the information retrieved at step S81 suggests that the client is eligible for resource grouping, the process advances to step S83. If not, the CPU 10a aborts the process.

(S83)    The CPU 10a registers the resource to the  
25 specified group as its new member. More specifically, it updates the group management table of FIG. 8 with an additional resource ID.

(S84) The CPU 10a searches for the associate groups again. This is because the addition of a new member affects the scope of associate group membership, thus necessitating a search on the group management table.

(S85) The CPU 10a modifies the associate group cross-references. That is, the CPU 10a revises the relevant entry of the group management table by entering the additional associate groups identified at step S84, as well as updating the cross-references among the groups.

The above-described process adds a new member resource to an existing group. Resources to be added in this process, however, have to be previously registered to the system. The flowchart of FIG. 14 illustrates a registration process for such a new resource. This process comprises the following steps.

(S90) The CPU 10a determines whether the session specified in the client's request is valid and active. If so, the process advances to step S91. If not, the CPU 10a aborts the process, rejecting the client's request.

(S91) From the session management table of FIG. 6, the CPU 10a retrieves information about the resource registration right given to the requesting client.

(S92) If the information retrieved at step S91 suggests that the client is eligible to register a

new resource, the process advances to step S93. If not, the CPU 10a aborts the process.

(S93) The CPU 10a registers the specified resource to the system.

5 The above-described steps allows a client to register a new resource to the system. Resources registered in this way can now be added to an existing group if so desired.

Referring next to FIG. 15, a process of removing a member from an existing group will be described below. This process is initiated by, for example, a user who wishes to remove a specific resource from a certain existing group. The process comprises the following steps.

(S100) The CPU 10a determines whether the session  
15 specified in the client's request is valid and active. If so, the process advances to step S101. If not, the CPU 10a aborts the process, rejecting the client's request.

(S101) From the session management table of FIG. 6, the  
20 CPU 10a retrieves information about the grouping right given to the requesting client.

(S102) If the information retrieved at step S101 suggests that the client is eligible to modify a resource group, the process advances to step S103.  
25 If not, the CPU 10a aborts the process.

(S103) The CPU 10a removes the specified member from the specified group. More specifically, it deletes a

relevant resource ID recorded in the group management table of FIG. 8.

(S104) Now that the group has been changed, the CPU 10a makes a search again to find its associate groups according to the modified membership.

(S105) The CPU 10a updates the cross-reference information in the group management table of FIG. 8 with the new list of associate groups obtained at step S104. As a result of the change in its membership, the modified group may no longer be referred to as an associate group of some other groups. If this is the case, the identifier of the modified group has to be removed from the table entries of those other groups.

The above-described process allows member resources to be removed from an existing group. Those resource may have to be further removed from the system. The flowchart of FIG. 16 illustrates a deregistration process for such obsolete resources. The process comprises the following steps.

(S110) The CPU 10a determines whether the session specified in the client's request is valid and active. If so, the process advances to step S111. If not, the CPU 10a aborts the process, rejecting the client's request.

(S111) From the session management table of FIG. 6, the CPU 10a retrieves information about the resource

deregistration right given to the requesting client.

(S112) If the information retrieved at step S111 suggests that the client is authorized to deregister a resource, the process advances to step S113. If not, the CPU 10a aborts the process.

(S113) The CPU 10a determines whether the specified resource is in a busy state. If so, the process advances to step S114. If not, the process skips to step S115.

More specifically, the CPU 10a recognizes the resource as being busy until a resource deallocation interrupt is received. In addition to this, the CPU 10a may scan the group management table of FIG. 8 to see whether there is any group including the resource in question. The resource is considered to be busy when the session management table of FIG. 6 indicates that some other client is using that group.

(S114) The CPU 10a determines whether it has received a resource deallocation interrupt pertaining to the resource of interest. If so, the process advances to step S115, taking it as the signal of its transition to the non-busy state. If not, the process returns to step S114 to wait for an interrupt.

In the case where the feature of resource deallocation interrupt is disabled or unavailable, the CPU 10a monitors the session management table of FIG. 6 to see whether the group including the

resource of interest is still being used. If that group ID is removed from the table, the CPU 10a understands that the resource has moved into the non-busy state.

5 (S115) The CPU 10a deregisters the specified resource from the system.

(S116) The CPU 10a updates the group management table accordingly.

Through the above-described processing steps, the client  
10 can remove an obsolete resource safely from the system, while observing the behavior of other clients.

The preferred embodiment of the invention has been described so far on the assumption of a distributed environment with multiple processing systems. It is,  
15 however, not intended to limit the invention to that specific environment. Rather, the present invention can also be applied to a single processor system, where each application acts as a client.

Although the group-based exclusive allocation has  
20 been described above, the present invention should not be limited to that particular form, but can also support the allocation on an individual resource basis. In that case, the proposed system examines each resource belonging to the requested group in the same way as shown in FIG. 10.  
25 The completion of group allocation is then signified when all the individual resources are allocated.

The processing mechanisms proposed above are



actually implemented as software functions of a computer system. The processing steps of the proposed data processing system are encoded in a computer program, which will be stored in a computer-readable storage medium. The computer system executes this program to provide the intended functions of the present invention. Suitable computer-readable storage media include magnetic storage media and solid state memory devices. Other portable storage media, such as CD-ROMs and floppy disks, are particularly suitable for circulation purposes. Further, it will be possible to distribute programs through an appropriate server computer deployed on a network. The program file delivered to a user is normally installed in his/her computer's hard drive or other local mass storage devices, which will be executed after being loaded to the main memory.

The above discussion is summarized as follows. According to the present invention, a data processing system is provided to allocate necessary resources to requesting clients. In this system, a grouping unit defines groups of resources, and those groups are maintained by a group manager. When a request is received from a client demanding a specific group of resources, a detection unit finds such a member resource of the requested group that is currently used by any other client. If the detection unit has found a member resource in use, then a determination unit determines whether the detected

member resource is to be modified. A permission unit permits the requesting client to make access to the requested group of resources if the detection unit finds that none of the member resources of the requested group  
5 are being used by any other client, or if the determination unit finds that neither the current user nor the requesting client intends to modify the detected member resource in use. This configuration of the proposed data processing system simplifies the process for a client  
10 to gain a plurality of computing resources.

The foregoing is considered as illustrative only of the principles of the present invention. Further, since numerous modifications and changes will readily occur to those skilled in the art, it is not desired to limit the  
15 invention to the exact construction and applications shown and described, and accordingly, all suitable modifications and equivalents may be regarded as falling within the scope of the invention in the appended claims and their equivalents.

WHAT IS CLAIMED IS:

1. A data processing system which allocates necessary resources to requesting clients, comprising:

5 grouping means for defining groups of resources;

group management means for managing the groups defined by said grouping means;

detection means, responsive to a request from a client that demands a specific group of resources, for  
10 detecting such a member resource of the requested group that is currently used by any other client;

determination means for determining, if said detection means has detected a member resource in use, whether the detected member resource is to be modified;

15 and

permission means for permitting the requesting client to make access to the requested group of resources if said detection means finds that none of the member resources of the requested group are being used by any  
20 other client, or if said determination means finds that neither the client using the requested resource nor the requesting client intends to modify the detected member resource in use.

25 2. The data processing system according to claim 1, further comprising allocation right memory means for storing information about whether each client has a

right to be allocated a group,

wherein said permission means examines the information stored in said allocation right memory means and rejects the request if the requesting client has no  
5 right to be allocated a group.

3. The data processing system according to claim 1, further comprising grouping right memory means for storing information about whether each client has a  
10 right to define a new group,

wherein said grouping means examines the information stored in said grouping right memory means and rejects the request if the requesting client has no right to define a new group.  
15

4. The data processing system according to claim 1, wherein said grouping of resources includes addition or removal of a member resource to/from an existing group.  
20

5. The data processing system according to claim 1, wherein said group management means further manages a valid period of each group and automatically removes such a group whose valid period has expired.  
25

6. The data processing system according to claim 1, wherein said detection means and determination

means operate on a group-by-group basis.

7. A computer readable medium storing a program which allocates necessary resources to requesting clients, the program causing a computer system to function as:

grouping means for defining groups of resources;

group management means for managing the groups defined by said grouping means;

10 detection means, responsive to a request from a client that demands a specific group of resources, for detecting such a member resource of the requested group that is currently used by any other client;

determination means for determining, if said  
15 detection means has detected a member resource in use, whether the detected member resource is to be modified; and

permission means for permitting the requesting client to make access to the requested group of resources  
20 if said detection means finds that none of the member resources of the requested group are being used by any other client, or if said determination means finds that neither the client using the requested resource nor the requesting client intends to modify the detected member  
25 resource in use.

## ABSTRACT OF THE DISCLOSURE

A data processing system which allows a client to request or release multiple computing resources with a single action. A grouping unit defines groups of resources, and those groups are maintained by a group manager. When a request is received from a client demanding a specific group of resources, a detection unit finds such a member resource of the requested group that is currently used by any other client. If the detection unit has found a member resource in use, then a determination unit determines whether the detected member resource is to be modified. A permission unit permits the requesting client to make access to the requested group of resources if the detection unit finds that none of the member resources of the requested group are being used by any other client, or if the determination unit finds that neither the current user nor the requesting client intends to modify the detected member resource in use.

20





8



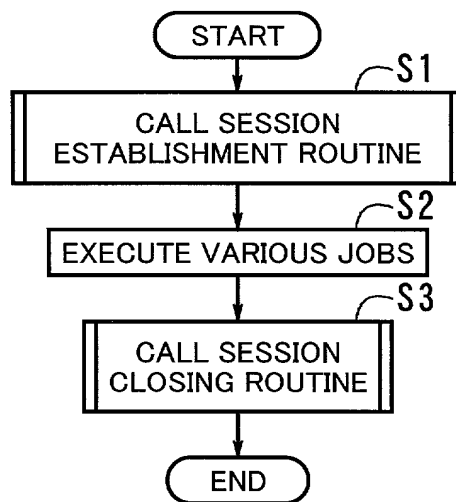


FIG. 3

```
graph TD; Start([START OF SESSION ESTABLISHMENT ROUTINE]) --> S10[Authenticate requesting client]; S10 --> S11{Authorized client?}; S11 -- NO --> End([END]); S11 -- YES --> S12[Generate session ID]; S12 --> S13[Retrieve client's authority status]; S13 --> S14[Enter session ID and authority status to session management table]; S14 --> Return([RETURN]);
```

The flowchart illustrates the process of establishing a session. It begins with a start node, followed by an authentication step (S10). A decision is then made (S11) on whether the client is authorized. If not authorized, the process ends. If authorized, a session ID is generated (S12), the client's authority status is retrieved (S13), and both are entered into the session management table (S14). The process then returns.

FIG. 4

CLIENT MANAGEMENT TABLE

CLIENT ID	GROUPING RIGHT	ALLOCATABLE GROUP	DEALLOCATABLE GROUP	RESOURCE REGISTRATION RIGHT	RESOURCE DEREGISTRATION RIGHT	RESOURCE DEALLOCATION RIGHT
C001	YES	G001, G003	G001, G003	YES	YES	YES
C002	YES	G001, G002	G001, G002	YES	YES	YES
C003	NO	G002	G002	NO	NO	NO

FIG. 5

SESSION MANAGEMENT TABLE

SESSION ID	CLIENT ID	GROUPING RIGHT	ALLOCATABLE GROUP	DEALLOCATABLE GROUP	RESOURCE REGISTRATION RIGHT	RESOURCE DEREGISTRATION RIGHT	RESOURCE DEALLOCATION RIGHT	ALLOCATED GROUP	R/W MODE
S001	C002	YES	G001, G002	G001, G002	YES	YES	YES	G001	R
S002	C001	YES	G001, G003	G001, G003	YES	YES	YES	G003	W
S003	C003	NO	G002	G002	NO	NO	NO		

FIG. 6

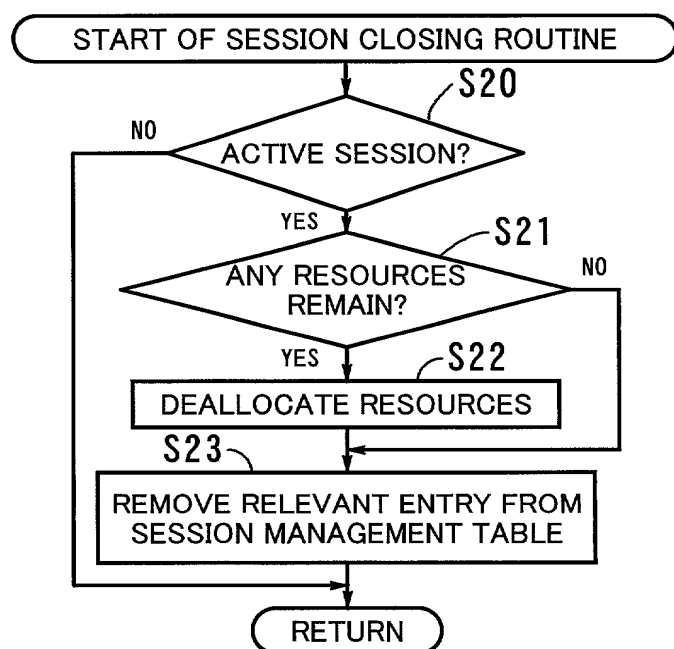


FIG. 7

GROUP MANAGEMENT TABLE

GROUP ID	VALID PERIOD	RESOURCE ID	RESOURCE ID	RESOURCE ID	RESOURCE ID	ASSOCIATE GROUP
G001	JAN 3,2000 2:00	R001	R005	R006		G002, G003
G002	JAN 2,2000 3:00	R001	R007			G001
G003	JAN 2,2000 5:00	R006				G001

FIG. 8

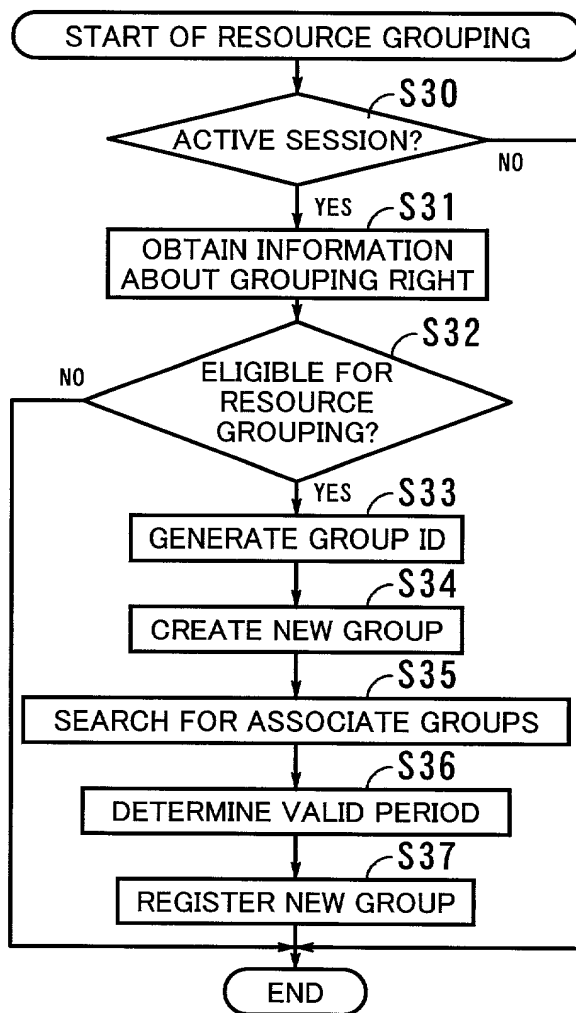


FIG. 9

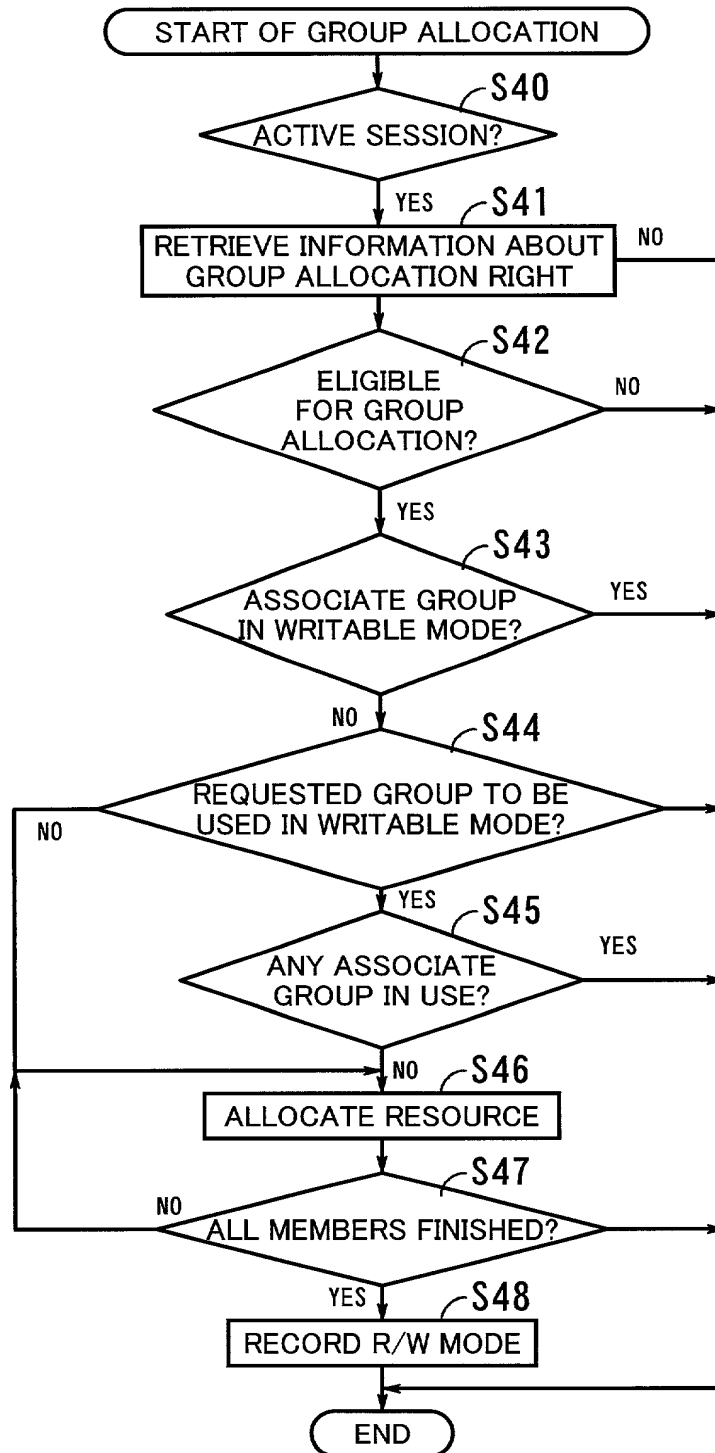


FIG. 10



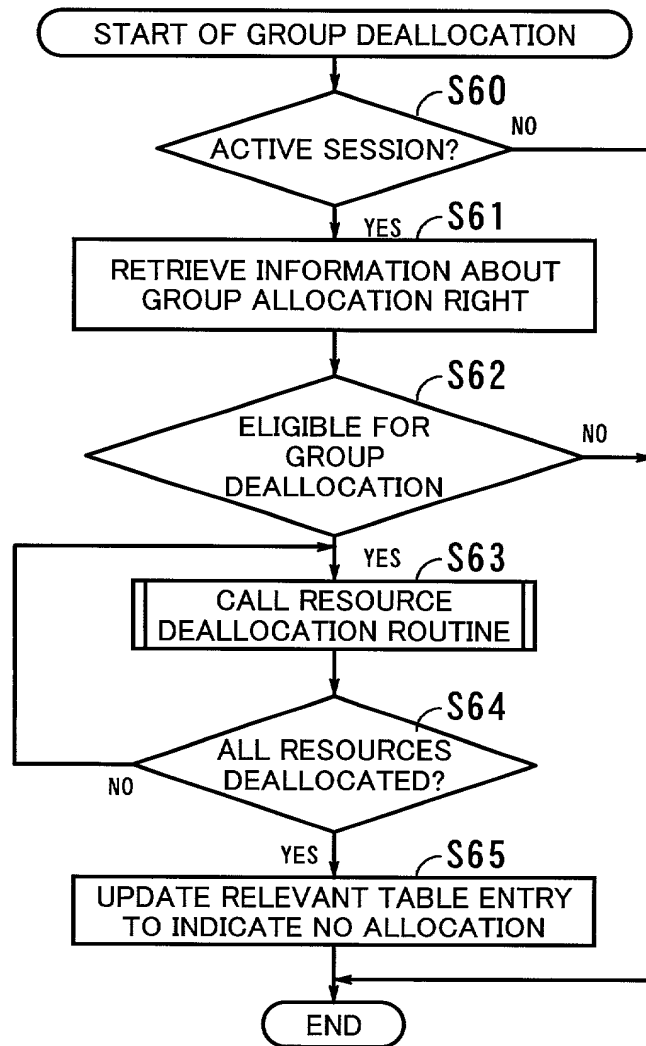


FIG. 11

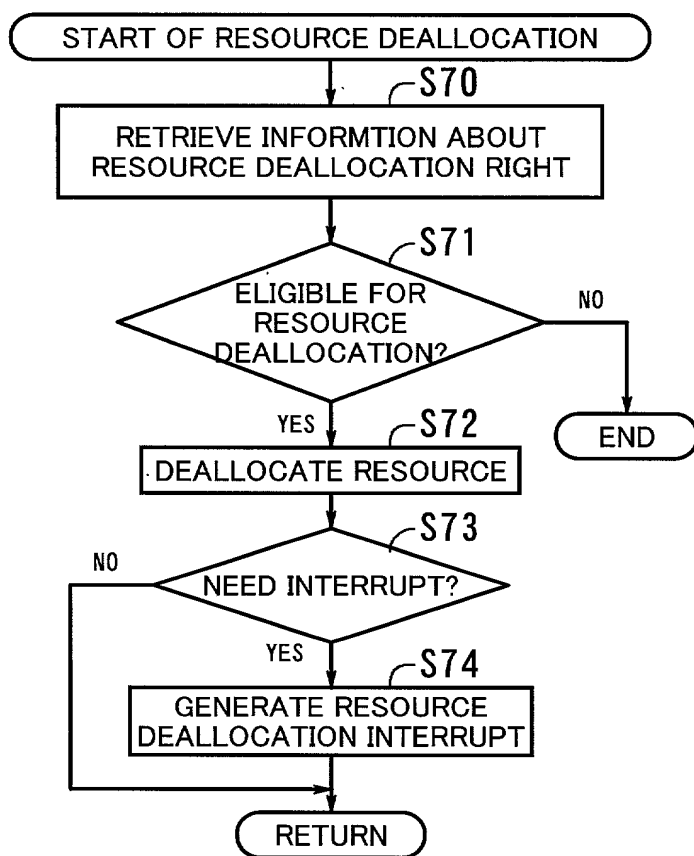


FIG. 12

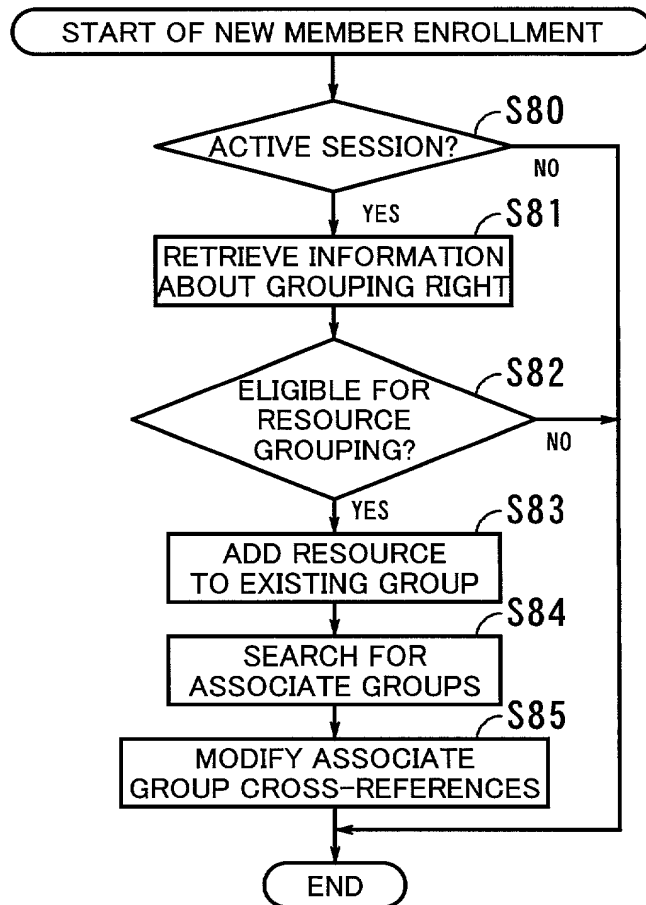


FIG. 13

# 2025

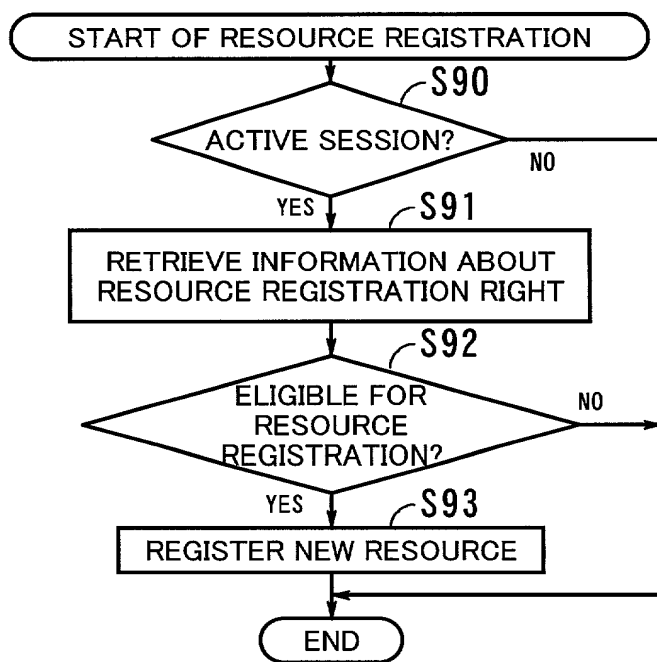


FIG. 14

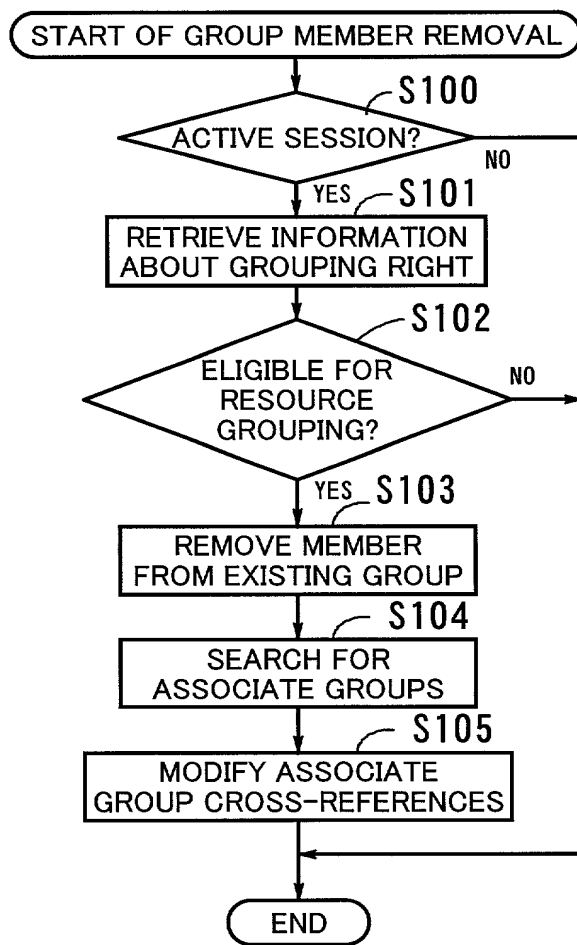


FIG. 15

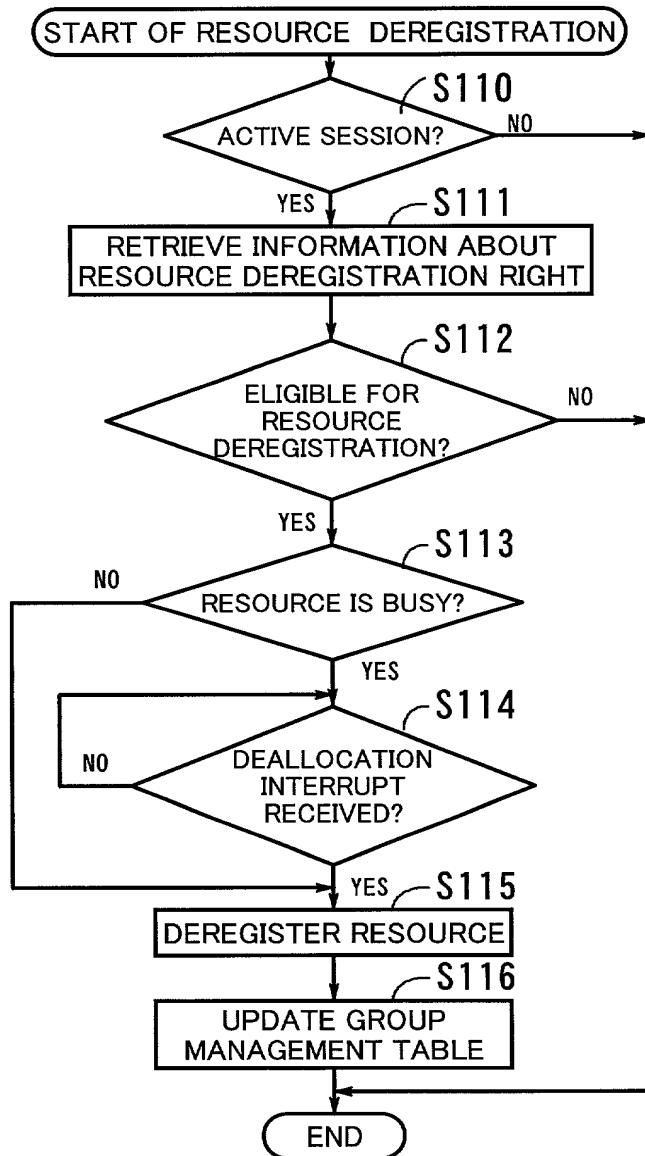


FIG. 16

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## Declaration and Power of Attorney For Patent Application

### 特許出願宣言書及び委任状

### Japanese Language Declaration

### 日本語宣言書

下記の氏名の発明者として、私は以下の通り宣言します。

As a below named inventor, I hereby declare that:

私の住所、私書箱、国籍は下記の私の氏名の後に記載された通りです。

My residence, post office address and citizenship are as stated next to my name.

下記の名称の発明に関して請求範囲に記載され、特許出願している発明内容について、私が最初かつ唯一の発明者（下記の氏名が一つの場合）もしくは最初かつ共同発明者であると（下記の名称が複数の場合）信じています。

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

DATA PROCESSING SYSTEM

上記発明の明細書（下記の欄でx印がついていない場合は、本表に添付）は、

the specification of which is attached hereto unless the following box is checked:

☐ 月 日に提出され、米国出願番号または特許協定条約国際出願番号を \_\_\_\_\_ とし、  
（該当する場合） \_\_\_\_\_ に訂正されました。

☐ was filed on \_\_\_\_\_  
as United States Application Number or  
PCT International Application Number  
\_\_\_\_\_ and was amended on  
\_\_\_\_\_ (if applicable).

私は、特許請求範囲を含む上記訂正後の明細書を検討し、内容を理解していることをここに表明します。

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

私は、連邦規則法典第37編第1条56項に定義されるとおり、特許資格の有無について重要な情報を開示する義務があることを認めます。

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## Japanese Language Declaration (日本語宣言書)

私は、米国法典第35編119条(a)-(d)項又は365条(b)項に基づき下記の、米国外の国の少なくとも一ヶ国を指定している特許協力条約365(a)項に基づく国際出願、又は外国での特許出願もしくは発明者証の出願についての外国優先権をここに主張するとともに、優先権を主張している、本出願の前に出願された特許または発明者証の外国出願を以下に、枠内をマークすることで、示しています。

### Prior Foreign Application(s)

外国で先行出願  
2000-030240

Japan

(Number)  
(番号)

(Country)  
(国名)

(Number)  
(番号)

(Country)  
(国名)

I hereby claim foreign priority under Title 35, United States Code, Section 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

Priority Not Claimed

優先権主張なし

02/02/00

(Day/Month/Year Filed)  
(出願年月日)

☐

(Day/Month/Year Filed)  
(出願年月日)

☐

私は、第35編米国法典119条(e)項に基づいて下記の米国外特許出願規定に記載された権利をここに主張いたします。

(Application No.)  
(出願番号)

(Filing Date)  
(出願日)

(Application No.)  
(出願番号)

(Filing Date)  
(出願日)

私は、下記の米国法典第35編120条に基づいて下記の米国外特許出願に記載された権利、又は米国外を指定している特許協力条約365条(c)に基づき権利をここに主張します。また、本出願の各請求範囲の内容が米国法典第35編112条第1項又は特許協力条約で規定された方法で先行する米国外特許出願に開示されていない限り、その先行米国外出願を提出日以降で本出願書の日本国内または特許協力条約国際提出日までの期間中に入手された、連邦規則法典第37編1条56項で定義された特許資格の有無に関する重要な情報について開示義務があることを認識しています。

(Application No.)  
(出願番号)

(Filing Date)  
(出願日)

(Application No.)  
(出願番号)

(Filing Date)  
(出願日)

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s), or 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code Section 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of application.

(Status: Patented, Pending, Abandoned)  
(現況: 特許許可済、係属中、放棄済)

(Status: Patented, Pending, Abandoned)  
(現況: 特許許可済、係属中、放棄済)

私は、私自身の知識に基づいて本宣言書中で私が行なう表明が真実であり、かつ私の入手した情報と私の信じることに基づき表明が全て真実であると信じていること、さらに故意になされた虚偽の表明及びそれと同等の行為は米国法典第18編第1001条に基づき、罰金または拘禁、もしくはその両方により処罰されること、そしてそのような故意による虚偽の表明を行えば、出願した、又は英に許可された特許の有効性が失われることを認識し、よってここに上記のごとく宣誓を致します。

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## Japanese Language Declaration

(日本語宣言書)

委任状: 私は下記の発明者として、本出願に関する一切の手続きを米特許審判局に対して遂行する弁理士または代理人として、下記の者を指名いたします。(弁理士、または代理人の氏名及び登録番号を明記のこと)

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith (list name and registration number)

James D. Halsey, Jr., 22,729; Harry John Staas, 22,010; David M. Pitcher, 25,908; John C. Garvey, 28,607; J. Randall Beckers, 30,358; William F. Herbert, 31,024; Richard A. Gollhofer, 31,106; Mark J. Henry, 36,162; Gene M. Garner II, 34,172; Michael D. Stein, 37,240; Paul I. Kravetz, 35,230; Gerald P. Joyce, III, 37,648; Todd E. Marlette, 35,269; Harlan B. Williams, Jr., 34,756; George N. Stevens, 36,938; Michael C. Soldner, P-41,455 and William M. Schertler, 35,348 (agent)

書類送付先

Send Correspondence to:

STAAS & HALSEY  
700 Eleventh Street, N.W.  
Suite 500  
Washington, D.C. 20001

直接電話連絡先: (名前及び電話番号)

Direct Telephone Calls to: (name and telephone number)

STAAS & HALSEY  
(202) 434-1500

唯一または第一発明者名		Full name of sole or first inventor	
		Minoru YAMAMOTO	
発明者の署名	日付	Inventor's signature	Date
		Minoru Yamamoto	Nov. 14, 2000
住所		Residence	
		Tokyo, Japan	
国籍		Citizenship	
		Japanese	
私書箱		Post Office Address	
		c/o FUJITSU BUSINESS SYSTEMS LTD., 7-27, Kouraku 1-chome, Bunkyo-ku, Tokyo 112-8572 Japan	
第二共同発明者		Full name of second joint inventor, if any	
		Takashi KANEDA	
第二共同発明者	日付	Second inventor's signature	Date
		Takashi Kaneda	Nov. 14, 2000
住所		Residence	
		Tokyo, Japan	
国籍		Citizenship	
		Japanese	
私書箱		Post Office Address	
		c/o FUJITSU BUSINESS SYSTEMS LTD., 7-27, Kouraku 1-chome, Bunkyo-ku, Tokyo, 112-8572 Japan	

(第三以降の共同発明者についても同様に記載し、署名をすること)

(Supply similar information and signature for third and subsequent joint inventors.)

